



Goddard Procedural Requirements (GPR)

DIRECTIVE NO. GPR 5100.4E

APPROVED BY Signature: Original Signed by Arthur F. Obenschain For

EFFECTIVE DATE: November 18, 2011

NAME: Robert Strain

EXPIRATION DATE: November 18, 2016

TITLE: Director

COMPLIANCE IS MANDATORY

Responsible Office: 300 / Safety and Mission Assurance Directorate

Title: Goddard Space Flight Center Supplier Assessment Process

PREFACE

P.1 PURPOSE

This procedure defines the requirements for the Goddard Space Flight Center (GSFC) supplier assessment process.

P.2 APPLICABILITY

This procedure applies to all Goddard Space Flight Center (GSFC) organizations for independently assessing a supplier's implementation of contractual requirements, industry standards, and quality management system processes.

P.3 AUTHORITY

- a. NPD 1280.1, NASA Integrated Management System Policy
- b. NPD 8730.2, NASA Parts Policy

P.4 APPLICABLE DOCUMENTS

- a. NPR 1441.1, NASA Records Retention Schedule
- b. GPR 1060.3, The Goddard Governance System
- c. GPR 5340.2, Control of Process Nonconformances and Customer Complaints
- d. GPR 9980.1, GSFC Management System Internal Audit Program

P.5 CANCELLATION

GPR 5100.4D, Supplier Quality Audits

P.6 SAFETY

None

P.7 TRAINING

- a. *Lead Assessor* – requires the completion of formal Lead Assessor training as evidenced by a training certification, or by having led an assessment team on at least one previous supplier assessment in his/her professional career, or has been an assessor on at least three supplier assessments, as evidenced by assessment reports.
- b. *Assessor* – requires the completion of assessment-related On-the-Job Training (OJT), participation as an assessor in at least one supplier assessment as evidenced by an assessment report, or participation as an observer in a minimum of two supplier assessments, under the guidance of another Assessor.

P.8 RECORDS

| Record Title | Record Custodian | Retention |
|---|---|--|
| Supplier Assessment Report | GSFC Supplier Assessment Function Manager, via online storage/retrieval database. | NRRS* 1/26.5A, Destroy when 7 years old. |
| Lead Assessor, and Assessor Training/Experience Records | GSFC Supplier Assessment Function Manager, via online storage/retrieval database | NRRS* 3/33G1, Destroy 5 years after employee discontinues or completes training. |

*NRRS – NASA Records Retention Schedules ([NPR 1441.1](#))

P.9 MEASUREMENT/VERIFICATION

Measurement and verification of GSAF processes is accomplished in accordance with Goddard Procedural Requirement (GPR) 1060.3 (The Goddard Governance System). Metrics are derived through the imposition of GPR 9980.1 (GSFC MS Internal Audit Program), GPR 5340.2 (Control of Process Nonconformances and Customer Complaints) and GPR 1710.1 (Corrective and Preventive Action).

PROCEDURES

In this document, a requirement is identified by “shall,” a good practice by “should,” permission by “may” or “can,” expectation by “will” and descriptive material by “is.”

1. Roles and Responsibilities

- 1.1 The GSFC Director will:

- a. Ensure the effective implementation of the GSFC Supplier Assessment Function (GSAF), which operates independently from GSFC programs/projects and as a subcomponent of GSFC's Supply Chain Management;
- b. Assign functional responsibility to the GSFC Director of Safety and Mission Assurance (SMA).

1.2 The GSFC Director of Safety and Mission Assurance (SMA) shall:

- a. Implement and sustain the GSAF within the Safety and Mission Assurance Directorate (SMA-D);
- b. Appoint a GSAF Manager (GSAFM)
- c. Report status of the GSAF during Monthly Status Reviews (MSRs), (ref. GPR 1060.3).

1.3 The GSAFM shall:

- a. Ensure GSAF personnel, processes, information, and Information Technology (IT) are identified and managed;
- b. Ensure the coordination of GSAF-related contract support services;
- c. Ensure personnel are assigned to the GSAF in accordance with the P.7 qualifications, above;
- d. Ensure GSAF responsibilities, capabilities, and activities are communicated to GSFC programs/projects, procurement, and engineering personnel;
- e. Ensure Supplier Assessments are conducted independently, in support of GSFC programs/projects, and in accordance with documented procedures; NOTE: Any stakeholder may request a supplier assessment be accomplished. Refer to Figure 1 for process overview;
- f. Ensure Supplier Assessment Reports are delivered, archived, maintained, and accessible;
- g. Report GSAF status during Pre Monthly Status Reviews (PMSRs).

1.4 GSFC Program/Project Managers shall identify current and prospective suppliers, including changes and/or concerns to the GSAFM, as needed, or upon request.

1.5 GSFC Contracting Officers shall communicate contractual changes and/or concerns relative to program/project suppliers to the respective program/project and the GSAFM, as needed, or upon request.

1.6 GSFC Mission/Lead System Engineers shall communicate supplier-related concerns to their respective program/project and the GSAFM, as needed, or upon request.

1.7 Chief Safety and Mission Assurance Officers (CSOs) shall be utilized as primary liaisons and kept abreast of supplier-related issues between programs/projects and the GSAF, as appropriate.

2. Functional Criteria

2.1 GSAF's planning, assessing, reporting, and follow-up validation activities shall be coordinated with stakeholders;

2.2 Stakeholders shall include, at a minimum, the relevant GSFC organizations(s), CSO(s), supplier(s), and requester whenever requester is separate from the aforementioned parties;

- 2.3 Findings identified during the course of a supplier assessment that are found to be the direct result of a failure on the part of the supplier shall be documented in an assessment report.
NOTE: Supplier retains full responsibility for all related corrective action(s). GSAF, in consultation with stakeholders, retains responsibility for follow-up activities and assuring the satisfactory closure of assessed findings;
- 2.4 Findings identified during the course of a supplier assessment that are found to be the direct result of a failure on the part of another supplier shall be noted in an assessment report, with the finding assigned to the supplier that is determined to be responsible for the corrective action;
- 2.5 Findings identified during the course of a supplier assessment that are found to be the direct result of a failure on the part of GSFC shall be reported and processed in accordance with GPR 5340.2;
- 2.6 Findings identified during the course of a supplier assessment that are found to be the direct result of a failure on the part of another NASA center or other government agency shall be formally reported as a customer complaint, by GSFC, to the responsible entity using the most efficient and appropriate means available; NOTE: GSAF retains responsibility for monitoring and reporting status in accordance with GPR 1060.3;
- 2.7 Observations developed throughout the course of a supplier assessment shall be documented in an assessment report;
- 2.8 Draft reports will be provided to the supplier within 20 working days after the assessment;
- 2.9 Final reports shall be stored in an online database and forwarded to the supplier in Portable Document Format (PDF).

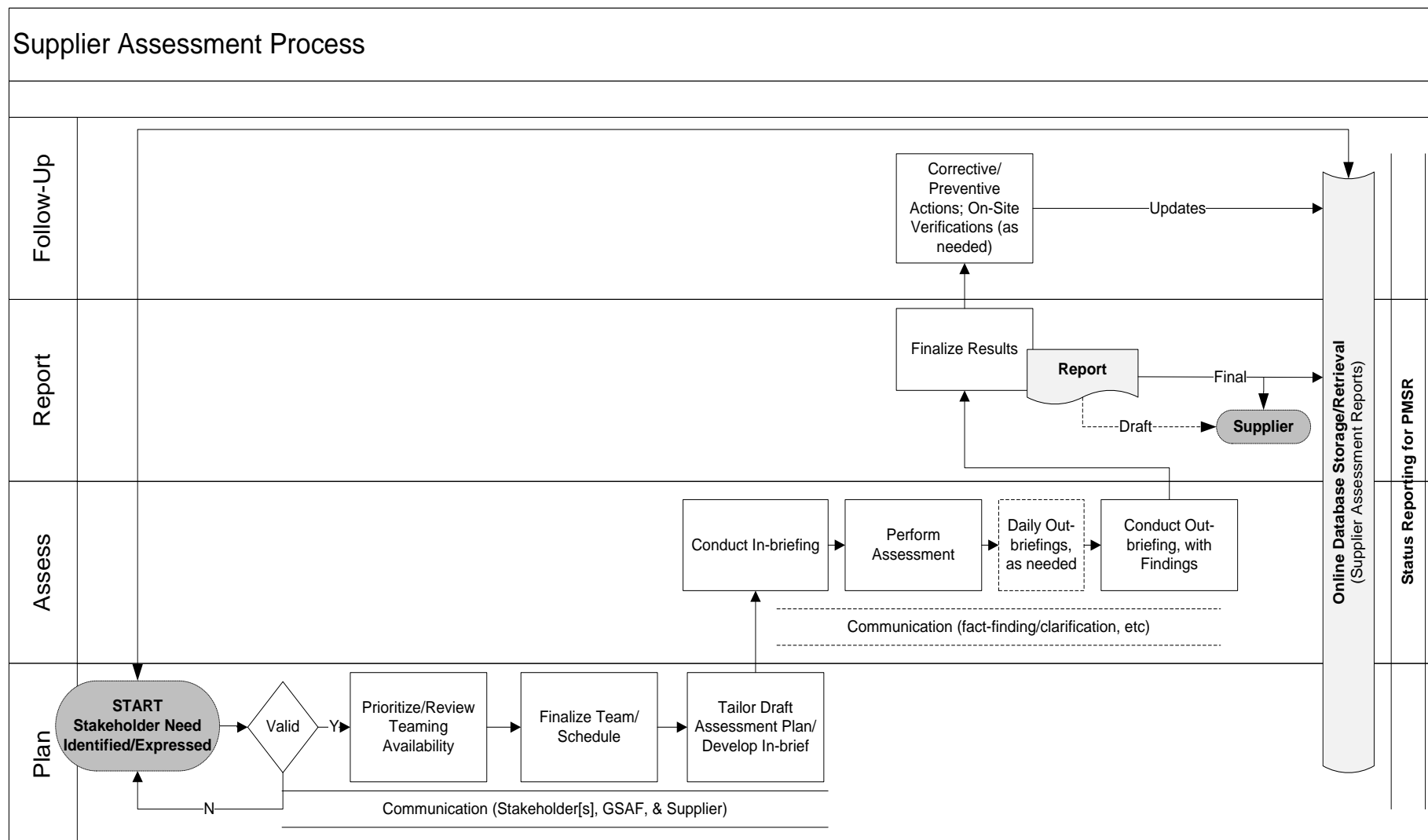


Figure 1

CHECK THE GSFC DIRECTIVES MANAGEMENT SYSTEM AT
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Appendix A – Definitions

- A.1 Assessor** – An individual (assessment team member) charged with supporting the needs of the Lead Assessor, and completing his/her assessment of assigned elements.
- A.2 Chief Safety and Mission Assurance Officer (CSO)** – An individual charged with providing policy verification, oversight, and independent assessment for all Center safety, reliability, maintainability, and quality engineering and assurance activities. The individual serves as the principal advisor to his/her assigned program/project on matters pertaining to safety and mission assurance. The individual also serves as the lead Technical Authority for safety and mission assurance.
- A.3 Finding** – A nonconformance or observation resulting from a formal assessment.
- A.4 GSFC Supplier Assessment Function (GSAF)** – The GSFC function, independent of any GSFC program/project, responsible for performing supplier assessments.
- A.5 GSFC Supplier Assessment Function Manager (GSAFM)** - The person charged with managing day-to-day GSAF resources.
- A.6 Lead Assessor** – An Assessor charged with supporting the Government Lead Assessor and who generally has the responsibility for developing and providing the final report.
- A.7 Mission/Lead Systems Engineer** – The system engineer, also often referred to as the Mission Systems Engineer (MSE), responsible for leading and integrating the efforts of the systems engineering team and the overall development and implementation of the mission or project design.
- A.8 Monthly Status Review (MSR)** – Reviews to assess the status of each program, project and instrument assigned to the Center.
- A.9 Nonconformance** – A finding reflecting a failure to implement a documented requirement.
- A.10 Observation** – Information regarding an event or condition recorded for explanatory purposes and not requiring or recommending action.
- A.11 Pre-Monthly Status Review (PMSR)** – Reviews to assess the status of each program, project and instrument supported by the Directorate.
- A.12 Program** – A strategic investment by a Mission Directorate or Mission Support Office that has a defined architecture and/or technical approach, requirements, funding level, and a management structure that initiates and directs one or more projects. A program defines a strategic direction that the Agency has identified as critical.
- A.13 Project** – A specific investment identified in a *Program Plan* having defined requirements, a life-cycle cost, a beginning, and an end. A project yields new or revised products that directly address NASA's strategic needs.
- A.14 Quality Management System Processes** - A set of processes, procedures, policies, tools and organizations that successfully transform customer requirements into products and services.
- A.15 Stakeholder** – An individual or organization having an interest (or stake) in the outcome, or deliverable, of a program or project.
- A.16 Supplier** – An organization that provides a product or service to GSFC.
- A.17 Supplier Assessment** – The evaluation of a supplier with respect to its accomplishments and performance in meeting requirements as specified in customer contracts, industry standards, and quality management systems.

- A.18 Supplier Assessment Reports** – Formal reports produced by a Lead Assessor used to document all findings.
- A.19 Supply Chain Management** – A customer-oriented continual improvement process that encompasses planning and sourcing of raw materials, suppliers, production, and receipt of product delivery.
- A.20 Validation** - The act of determining if a corrective action and associated outcome(s) satisfies a stated requirement.

Appendix B – Acronyms

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|--------------|---|
| CO | Contracting Officer |
| CSO | Chief Safety and Mission Assurance Officer |
| FRC | Federal Records Centers |
| GPR | Goddard Procedural Requirements |
| GSAF | GSFC Supplier Assessment Function |
| GSAFM | GSFC Supplier Assessment Function Manager |
| GSFC | Goddard Space Flight Center |
| IT | Information Technology |
| MSR | Monthly Status Review |
| NASA | National Aeronautics and Space Administration |
| NPD | NASA Policy Directive |
| NPR | NASA Procedural Requirements |
| PMSR | Pre-Monthly Status Review |
| OJT | On-the-Job Training |
| SMA | Safety and Mission Assurance |
| SMA-D | Safety and Mission Assurance Directorate |

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CHANGE HISTORY LOG

| Revision | Effective Date | Description of Changes |
|----------|----------------|--|
| Baseline | 07/01/99 | |
| A | 11/02/99 | <p>P6 - Deleted Supplier Quality Audit Listing as a quality record.</p> <p>1(a) - Re-worded definition.</p> <p>1(p) - Added responsibility for maintenance of supplier quality audit schedule.</p> <p>2.1 - deleted first sentence. Added (a).</p> <p>2.2 - Deleted last sentence.</p> <p>2.3/2.4 - Replaced "survey" with "audit" in both sections.</p> <p>2.6(h) - Indicated Lead Auditor as initiator of route sheet.</p> <p>Flowchart - Corrected paragraph reference in one block.</p> |
| B | 07/06/00 | <p>All references to NCR/CA database changed to NCR/CAS</p> <p>P6 - Deleted "whichever is sooner" from second listed quality record retention period</p> <p>2.3 - Deleted "including audit ground rules," after "The Lead Auditor provides the audit plan," in the first sentence of the last paragraph. Reflecting design change of the NCR/CAS, deleted last two sentences regarding creation of a parallel "project" in the NCR/CAS and defaulting the NCL to the Lead Auditor.</p> <p>2.4 and 2.5 - Rewritten to address audits where neither the CO nor COTR is present or available for consultation.</p> <p>2.6 - Revised second sentence of first paragraph to reflect NCR/CAS design change. Deleted "and attachment of" after "by reference to" in the second sentence of second paragraph. Added parenthetical sentence to element h of the Audit Report). Reworded second sentence of last paragraph.</p> <p>2.7 - Replaced NCR's with "nonconformances" in the first sentence so as not to infer any format requirements. In second sentence replaced "Lead Auditor" with "NCL of the sponsoring organization".</p> <p>2.8 - First sentence rewritten for clarity. Reworded last sentence for clarity.</p> <p>Affected flowchart elements revised to reflect above changes.</p> |
| C | 08/24/04 | <p>Overall format updated in compliance with GPG template.</p> <p>P.3 Reference updated.</p> <p>P.4 References (a), (b), (f) and (g) updated. Added reference (i).</p> <p>P.8 – Added NRRS definition. Spelled out FRC and NARA. NCR record custodian changed to Code 306.</p> <p>P.10 – Sorted definitions alphabetically.</p> <p>P.10e – Inserted "...NASA FAR Supplement ..."</p> <p>P.10i – Inserted "normally the Systems Assurance Manager (SAM) or SAM designee". Deleted text distinguishing CO authorities from QAR</p> |

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| | | <p>responsibilities as unnecessary.</p> <p>Implementation Section 2 – Inserted “authorized” in third paragraph second sentence.</p> <p>Implementation Section 3 and beyond – Procedure revised to add specific role for NASA QAR. Also added optional role for COTR in lieu of CO where agreed between the two and where the process does not mandate the authority of a CO.</p> <p>Section 7 – Inserted in last sentence “and assign a new proposed date of corrective action closure”.</p> |
| D | 12/29/04 | <p>As directed during the FY04 Center Rules Review, the Responsible Office modified this document to remove requirements that were no longer needed and to clearly distinguish requirements from supporting information. Administrative changes were made throughout to correct responsible organization names and codes, and to retitle Goddard Procedures and Guidelines (GPG) to Goddard Procedural Requirements (GPR). All changes were reviewed and approved by the Goddard Quality Management System Council (QMSC).</p> |
| D | 10/15/09 | Administratively extended for 1 year. |
| E | 11/18/11 | <p>Major revision; removes “how-to” process details for placement into a 300 PG; defines high-level stakeholder roles and responsibilities. Requirements related to the process of planning, conducting, and reporting of supplier assessments have been removed and incorporated into 300-PG-5100.4.1.</p> |